



Attorney's Docket No. 6456-DIV

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent application

In re application of: Sankar Sambasivan

Group Art Unit: 1775

Serial No.: 10/761,021

Filed: 01/20/2004

For: **HIGHLY ANISOTROPIC CERAMIC THERMAL BARRIER COATING
MATERIALS AND RELATED COMPOSITES**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
WITHIN THREE MONTHS OF FILING OR BEFORE MAILING OF
FIRST OFFICE ACTION (37 CFR 1.97(b))**

NOTE: "An information disclosure statement shall be considered by the Office if filed: (1) within three months of the filing date of a national application; (2) within three months of the date of entry of the national stage as set forth in § 1.491 in an international application; or (3) before the mailing date of a first Office action on the merits, whichever event occurs last." 37 CFR 1.97(b).

NOTE: The "filing date of a national application" under 37 CFR 1.97(b) has two possible meanings. Where the filing is a direct one to the United States Patent & Trademark Office, the filing is defined in 37 CFR 1.53(b) as "the date on which: (1) A specification containing a description pursuant to § 1.71 and at least one claim pursuant to § 1.75; and (2) any drawing required by § 1.81(a), are filed in the Patent and Trademark Office in the name of the actual inventor or inventors as required by § 1.41." 37 CFR 1.97(b)(1). On the other hand, an international application that enters the national stage occurs when the applicant has filed the documents and fees required by 35 U.S.C. § 371(c) within the periods set forth in § 1.494 or § 1.495. 35 U.S.C. § 371(c) requires the filing of the following: (1) the national fee; (2) a copy of the international application, unless already sent by the International Bureau, and an English translation if filed in another language; (3) amendments under PCT Article 19, with a translation into English if made in another language; (4) an oath or declaration; and (5) a translation into English of any annexes to the International preliminary examination report, if such annexes were made in another language. 37 CFR 1.97(b)(2).

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Date: April 20, 2004

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Antonia M. Holland

(type or print name of person certifying)



IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING INFORMATION DISCLOSURE STATEMENT

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 CFR 1.97(b).

NOTE: "No certification or fee is due when the filing is made within the above time period. It is advisable to ensure that no Office action has been mailed if the disclosure statement is delayed until after three months from filing.

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NOTE: "The term 'national application' includes continuing applications (continuations, divisions, continuations-in-part) so three months will be measured from the actual filing date of an application as opposed [sic] to the effective date of a continuing application." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

NOTE: "An action on the merits means an action which treats the patentability of the claims in an application, as opposed to only formal or procedural requirements. An action on the merits would, for example, contain a rejection or indication of allowability of a claim or claims rather than just a restriction requirement (37 CFR 1.142) or just a requirement for additional fees to have a claim considered (37 CFR 1.16(d)). Thus, if an application was filed on Jan. 1 and the first Office action on the merits was not mailed until six months later on July 1, the examiner would be required to consider any proper information disclosure statement filed prior to July 1." Notice of April 20, 1992 (1138 O.G. 37-41, 39).

WARNING: "A petition for suspension of action to allow applicant time to submit an information disclosure statement will be denied as failing to present good and sufficient reasons, since 37 CFR 1.97 provides adequate recourse for the timely submission of prior art for consideration by the examiner." Notice of July 6, 1992 (1141 O.G. 63).

Dated: April 20, 2004
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PATENT APPLICATION

Reinhart Boerner Van Deuren s.c.

By: Antonia M. Holland
Antonia M. Holland

Date: April 20, 2004



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

GROUP ART UNIT: 1775

EXAMINER:

In re application of: Sankar Sambasivan)

Application No: 10/761,021)

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MATERIALS AND RELATED
COMPOSITES

April 20, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

On behalf of Applicant and pursuant to 37 C.F.R. § 1.97-.98, U.S. patents that may be relevant are listed on Form 1449 and is hereby presented for consideration. Copies of the listed non-patent references and foreign patent applications are not required to be provided because they were cited by or submitted to the Patent Office in conjunction with the parent application serial no. 09/845,097.

Respectfully submitted,

BY Antonia M. Holland
Antonia M. Holland
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APR 22 2004
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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/761,021
Filing Date	01/20/2004
First Named Inventor	Sankar Sambasivan
Group Art Unit	1775
Examiner Name	
Attorney Docket Number	6456-DIV

Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below): Postcard IDS Statement by Attorney Transmittal of IDS		
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Antonia M. Holland
Signature	<i>Antonia M. Holland</i>
Date	April 20, 2004

CERTIFICATE OF MAILING

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Typed or printed name	Antonia M. Holland
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 2

of 2

Attorney Docket Number

6456-DIV

Complete if Known

Application Number

10761.021

Filing Date

01/20/2004

First Named Inventor

Sankar Sambasivan

Group Art Unit

1775

Examiner Name

Attorney Docket Number

6456-DIV

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.¹	Foreign Patent Document			Name of Patentes or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T₀
		Office^a	Number^d	Kind Code^e (if known)				
	AP		JP-03- 279098		Shimizu	04-1994		
Examiner Signature					Date Considered			

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¹ The unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet 2 of 2

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Application Number	10/761,021
Filing Date	01/20/2004
First Named Inventor	Sankar Sambasivan
Group Art Unit	1775
Examiner Name	
Attorney Docket Number	6456-DIV

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	AQ	RAVICHANDRAN, K., AN, K., DUTTON, R., and SEMIATIN, S.L. Thermal Conductivity of Plasma-Sprayed Monolithic and Multilayer Coatings of Alumina and Yttria-Stabilized Zirconia, Journal of the American Ceramic Society, Vol. 82, No. 3, March 1999, pp. 673-682.	
	AR	KLEMENS, P.G. and GELL, M. Thermal Conductivity of Thermal Barrier Coatings, Materials Science & Engineering, A245 (1998) pp. 143-148, Elsevier Science S.A. 1998.	
	AS	FAIR, G., SHEMKUNAS, M., PETUSKEY, W. and SAMBASIVAN, S. Layered Perovskites as 'Soft-ceramics', Journal of the European Ceramic Society, 1999, pp. 2437-2447, Elsevier Science Ltd., Great Britain, 1999.	
	AT	STEINER, K.A., Thermal Expansion and Compressibility of Layered Perovskite Compounds, Thesis for Arizona State University, August 1998.	

Examiner
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Considered

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